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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/627,672	07/28/2003	Alan J. Schunemann	5363-001-23	4611

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EXAMINER

LIN, WEN TAI

ART UNIT	PAPER NUMBER
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2154

DATE MAILED: 08/31/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

10/627,672

Applicant(s)

SCHUNEMANN, ALAN J.

Examiner

Wen-Tai Lin

Art Unit

2154

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 29 June 2005.  
2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.  
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.  
4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.  
5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.  
6) ☒ Claim(s) 1-30 is/are rejected.  
7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.  
8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.  
10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).  
11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)  
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)  
3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 8/8/05.  
4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.  
5) ☐ Notice of Informal Patent Application (PTO-152)  
6) ☐ Other: \_\_\_\_\_.

### **DETAILED ACTION**

1. Claims 1-30 are presented for examination.
2. The text of those sections of Title 35, USC code not included in this action can be found in the prior Office Action.

### ***Claim Rejections - 35 USC § 102***

3. Claims 1-5, 7-17, 19-26 and 28-30 are rejected under 35 U.S.C. 102(e) as being anticipated by Mukai et al.[U.S. PGPub 20020178382].
4. As to claim 1, Mukai teaches the invention as claimed including: a system for identifying users of a plurality of computers within an organization's communications network [See e.g., Abstract; Figs. 10, 15 and 18; paragraphs 2 and 140], comprising:
  - a database storing directory information for a plurality of users authorized to use the plurality of computers within the communications network [e.g., Figs. 18 and 22; paragraph 260; i.e., by default there is a database or organized file for storing the log information];
  - a name discovery apparatus [e.g. the security administration server of Fig. 10] for extracting Internet Protocol and electronic mail addresses, having at least one connection to a primary switch in the communications network for capturing inbound and outbound electronic

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mail traffic [e.g., the security administration server has a function for collecting various log information managed in various devices to be monitored operating in the LAN (see Abstract)]; and

a server, connected to said name discovery apparatus and having access to said database via the communications network, said server having a server process capable of joining said inbound and outbound electronic mail traffic captured by said name discovery apparatus and said directory information stored in said database, wherein which of said plurality of users is using which of the plurality of computers is identified [see e.g. the function of security administration server of Fig.10 and the resulting display of Fig.18].

5. As to claims 2-3, Mukai further teaches that the communications network is a local area network, which is an Ethernet network [Abstract].

6. As to claim 4, Mukai further teaches that the communications network is a wide area network [e.g., Fig.9; paragraphs 170 and 242].

7. As to claim 5, Mukai teaches that the system further comprising a central repository, accessible by said name discovery apparatus and said Web server, for storing said inbound and outbound electronic mail traffic captured by said name discovery apparatus [i.e., inherently there is a repository associated with the administration server for storing the collected log information (see e.g., claims 1-4)].

8. As to claim 7, Mukai further teaches that said database contains at least the email addresses and IP-addresses relating to said plurality of users [paragraph 260 and Fig. 18].

9. As to claim 8, Mukai further teaches that that said server process is a Web server process capable of responding to browser-based queries to identify which of the plurality of users using the plurality of computers [e.g., Fig.6 and paragraph 167].

10. As to claim 9, Mukai further teaches that said inbound and outbound electronic mail traffic captured by said name discovery apparatus includes at least one of the following [e.g., paragraph 185, wherein a mail server generally deals with one of the POP, IMAP or SMTP mail traffic].

11. As to claim 10, since the features of this claim can also be found in claims 1, it is rejected for the same reasons set forth in the rejection of claims 1 above.

12. As to claim 13, Mukai further teaches that said extracting step comprises the step of using pattern matching based upon a known electronic mail protocol to extract said Internet Protocol addresses and said electronic mail addresses from said captured inbound and outbound electronic mail traffic [e.g., paragraph 185; i.e., inherently when a mail server is monitored, the captured information has to be parsed based on the known electronic mail protocol, otherwise information could be mistakenly captured or interpreted].

13. As to claims 11-12, 14-17, 19-26 and 28-30, since the features of these claims can also be found in claims 1-4, 7-10 and 13, they are rejected for the same reasons set forth in the rejection of claims 1-4, 7-10 and 13 above.

*Claim Rejections - 35 USC § 103*

14. Claims 6, 18 and 27 are rejected under 35 U.S.C. 103(a) as being unpatentable over Mukai et al.(hereafter "Mukai")[U.S. PGPub 20020178382], as applied to claims 1-5, 7-17, 19-26 and 28-30 above.

15. As to claims 6, 18 and 27, Mukai does not specifically teach that said database is an ITU-T X.500 formatted database. However, since Mukai does not limit its database to certain formats, it is obvious to one of ordinary skill in the art that Mukai's system is open for different kind of database formats, such as ITU-TX.500, because the ability to be adaptive to different type of database formats enables Mukai's system/method to be implemented in a wider variety of operating environments.

16. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure: Mattaway et al. [U.S. Patent No. 6185184].

17. Applicant's arguments filed on 6/29/2005 for claims 1-30 have been fully considered but are moot in view of the new ground(s) of rejection.

18. 24a. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, THIS ACTION IS MADE FINAL. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

25. A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

### ***Conclusion***

**Examiner note:** Examiner has cited particular columns and line numbers in the references as applied to the claims above for the convenience of the applicant. Although the specified citations are representative of the teachings of the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. It is respectfully requested from the applicant in preparing responses, to fully consider the references in entirety as potentially teaching all or part of the claimed invention, as well as the contest of the passage as taught by the prior art or disclosed by the Examiner.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Wen-Tai Lin whose telephone number is (571)272-3969. The examiner can normally be reached on Monday-Friday (8:00-5:00) .

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Follansbee can be reached on (571)272-3964. The fax phone numbers for the organization where this application or proceeding is assigned are as follows:


(571)273-8300 for official communications; and

(571)273-3969 for status inquires draft communication.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Wen-Tai Lin

August 30, 2005

  
8/30/05